



State of Utah

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September 18, 2008

OSD-JM-002-08

Sidonie Squier, Director
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Washington, DC 20447

Director Squier:

The Utah Department of Workforce Services is pleased to submit a revised TANF Work Verification Plan in accordance with 45 CFR Part 261.62. This plan will be effective October 1, 2008. We believe our plan will result in accurate reporting of work participation information.

The attached plan has been updated based on feedback we received September 8 from the national office. Those changes include clarifying our definition of work eligible individuals (p. 22) and our application of excused absences and federal work activities (p. 20-21).

We also included the changes outlined in the formal comments we received September 11. Changes include: specifying that unsupervised study time cannot exceed what's required/advised by the educational institution (p. 5, 17, 18, 19), using the higher of the Federal or state minimum wage to calculate FLSA limits on community service (p. 21), and clarifying the term "reporting cycle" (p. 1).

If you should have any further questions, please contact Sarah Brenna at (801) 526-9205 or via email at SBRENNNA@utah.gov.

Sincerely,


Kristen Cox, Executive Director
Department of Workforce Services

Attachment(s)

CC:	Terry Perlmutter	James Whitaker
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JW/JM/JC



**Department of Workforce Services
Work Verification Plan
September 11, 2008**

Overview

The Department of Workforce Services' (DWS) verification plan was prepared in accordance with the regulatory requirements of the final rule that the U.S. Department of Health and Human Service (HHS) published on February 5, 2008. Under the rule, a State must submit its Work Verification Plan to HHS for approval. The plan is organized into five sections: countable work activities, hours engaged in work, work-eligible individuals, internal controls, and verification of other data used in calculating the work participation rates. This is to certify that Utah's Work Verification Plan dated August 5, 2008, includes all the information required by the regulations at 45 CFR 261.62(b) and accurately reflects the provisions under which the State will be operating as of October 1, 2008.

The Family Employment Program (FEP) provides financial assistance and employment services to all eligible parents with dependent children residing in their home. The purpose is to empower families to increase their income and become financially independent through employment, child support, and/or disability benefits. Every parent works with a case manager to develop an employment plan that outlines appropriate activities to help the parent meet the goal of financial independence. In order to remain eligible to receive financial assistance, a parent must participate in the activities outlined in the employment plan.

I. Countable Work Activities

[Updated holiday and excused hours process, will be explained in Part II.]

[Holidays and excused absences will now be calculated in hours.]

In order to simplify verification procedures for DWS employees and customers, DWS has developed a method of reporting participation hours called a Reporting Cycle. A reporting cycle accounts for weeks that have days in one or more months. It is similar to the JOBS approach (an acceptable alternative) that places the week in whichever month the Friday falls. The method is based on twelve reporting cycles with each cycle ending on the last Saturday of a month. If there are any remaining days in the month, they are included in the next reporting cycle. Eight reporting cycles have four weeks; four reporting cycles have five weeks. A week is defined as beginning on Sunday and ending on the following Saturday. Holiday and Excused hours are also be divided by the number of weeks in the reporting cycle.

For each Federal work activity, the number of countable hours of participation is determined by adding the number of verified hours of participation in the reporting cycle. After the weekly hours are totaled, holiday and excused hours are applied according to the methodology outlined in Part II, Hours Engaged in Work. The weekly average number of hours for each activity is calculated. If there are no holiday or excused hours for the reporting cycle, the weekly average is determined by dividing the total number of verified hours by the number of weeks in the reporting cycle.

DWS' Employment Counselors are responsible for opening the appropriate service in UWORKS based on a negotiated employment plan. Services that comply with Federal work requirements require a planned start date and an actual start date. The planned start date is the date customers are scheduled to begin an activity on their employment plan. The actual start date is the date customers actually begin the activity. Once an actual start date is entered the service populates on the verification pop up screen.

The verification pop up is the screen where verified hours are entered by DWS employees. The verification screen is based on reporting cycles as explained previously. The screen displays services, service start dates, expected hours, a documentation narration box, and holiday, excused and verified hour fields. Verification hour fields are designated by the week end date and are based on a weekly number of hours. The documentation field corresponds to each verification week field allowing documentation narrations to be entered explaining how hours were verified for the week. Excused absence and holiday hours are based on a daily number of hours. A popup accessed by double clicking in the week field on the verification screen will allow DWS employees to enter excused and holiday hours for each day in the week. This allows us to track the number of hours used for excused absences or holidays.

There is an easy access button, which links the user to our imaging system, Content Manager, where documents are imaged and stored electronically. The verification pop up serves as a historical record of verified hours and corresponding documentation. Verified hours are stored in a data warehouse.

Verified hours may also be entered using a mass entry screen in UWORKS. The mass entry screen allows hours to be entered for several customers in one location. The mass entry screen contains the same information as the verification pop up.

All participation hours in Federal work activities, except approved unsupervised study hours, require supervision and documentation. Supervision is defined as the process of overseeing the performance of a person or group. The person providing the supervision assumes responsibility for the monitoring of activities. Documentation is defined as the items maintained in the case file to confirm compliance with program requirements.

The following UWORKS services and definitions comply with the Federal work activity definitions contained in the final rule. Some definitions may appear similar but vary slightly to accommodate customers who are enrolled in other Federal programs, such as the Workforce Investment Act (WIA).

Unsubsidized Employment

Describe the services under this work activity.

Apprenticeship Employment – The paid employment component of an apprenticeship that leads to skilled labor for customers who want to learn a trade. The activity must meet criteria established by the Bureau of Apprenticeship and Training (BAT).

Employment – Full or part-time employment in the public or private sector that pays wages or a salary and is not subsidized by any public program, including TANF.

Self Employment – Activities in which individuals earn income directly from his/her own business, trade or profession, rather than wages or salary from an employer. Activities may include but are not limited to, domestic work, ranching, farming, fishing and the provision of child care. Participation hours equal total gross income minus business expenses divided by the Federal minimum wage.

Youth Employment – Full or part-time employment in the public or private sector that pays wages or a salary and is not subsidized by any public program, including TANF. Customers must be enrolled in WIA. These customers are work-eligible parents, or caretaker relatives of a minor child, receiving TANF assistance. They are also eligible for WIA because they were between the ages of 14 and 21 at the time of WIA eligibility.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of verified hours worked in paid employment activities in a reporting cycle.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

DWS employees enter verified participation hours on the verification screen in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: check-stubs, timesheets, payroll records, collateral contacts to employers, TALX, and attendance forms provided by DWS. If a collateral contact is used to document participation hours, a collateral contact form must be filled out by a DWS employee or contractor and imaged in the electronic case file.

For self-employment, describe how the State counts and verifies the hours of participation. A State may not count more hours toward the participation rate for a self-employed individual than the individual's self-employment income (gross income less business expenses) divided by the Federal minimum wage. The State may also describe an alternative methodology to count and verify hours a client is engaged in self-employment.

Participation hours equal total gross income minus business expenses divided by the Federal minimum wage. Documentation of gross income and business expenses includes tax statements, invoices, receipts, or other information recorded in our eligibility system. Employment Counselors will use the net income amount calculated by eligibility to determine participation hours.

If the State intends to project forward hours of participation based on current, documented, actual hours, explain how it will make this projection.

DWS employees will collect documentation for two weeks of paid employment hours and enter those hours on the UWORKS baseline popup on the verification screen. The baseline popup has two different fields, week 1 and week 2. The Employment Counselor enters weekly hours in each of the fields. If documentation received includes hours for more than two weeks, the Employment Counselor will average the hours to determine a weekly amount to enter on the baseline popup. This is done by dividing the hours by the time period represented in the documentation.

Once this information is entered, UWORKS will average the hours and project the average number of weekly hours forward for a period of six months. When DWS becomes aware of a change that is representative of continuing circumstances, new documentation will be collected and hours re-projected based on the most current information.

If employment hours are not consistent, DWS employees may elect not to use the projection process. In that case, DWS employees will enter weekly hours in the weekly hours field on the verification screen.

The UWORKS verification screen will also project Self-Employment hours. Once net income has been determined by eligibility and entered into the system by DWS employees, UWORKS will calculate monthly hours by dividing net income by the Federal minimum wage. Monthly hours are calculated as weekly hours by dividing total monthly hours by the number of weeks in the reporting cycle. UWORKS will project six months of hours based on the formula. When DWS becomes aware of a change to net income, the counselor will enter the new net income and UWORKS will re-project the hours based on the most current information using the above formula.

Subsidized Employment Private Sector

Describe the services under this work activity.

Subsidized Employment – Private – Employment for which the employer receives a subsidy from TANF or other public funds to offset some or all of the wages and costs of employing a customer. Some of those costs include benefits, employment-related taxes, insurance etc. Customers are paid wages and receive the same benefits as other employees who perform similar work. Subsidized employment is different from OJT in two ways. First, Subsidized Employment is for customers who may not be job ready and need necessary training, guidance and direction to adequately perform in a workplace, rather than those who need significant on-site training and guidance in a specific career or occupation. Second, the subsidy the employer receives is to offset the costs of employing the customer, rather than the cost of training.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of verified hours worked in subsidized private employment activities in a reporting cycle.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Removed two week documentation requirement.]

DWS employees collect documentation and then enter verified participation hours on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: check-stubs, timesheets, payroll records, collateral contacts to employers, TALX, and attendance forms provided by DWS. If a collateral contact is used to document participation hours, a collateral contact form must be filled out by a DWS employee or contractor and imaged in the electronic case file.

If the State intends to project forward hours of participation based on current, documented, actual hours, explain how it will make this projection.

DWS employees will collect documentation for two weeks of paid employment hours and enter those hours on the UWORKS baseline popup on the verification screen. The baseline popup has two different fields, week 1 and week 2. The Employment Counselor enters weekly hours in each of the fields. If documentation received includes hours for more than two weeks, the Employment Counselor will average the hours to determine a weekly amount to enter on the baseline popup. This is done by dividing the hours by the time period represented in the documentation. Once this information is entered, UWORKS will average the hours and project that average number forward for a period of six months. When DWS becomes aware of a change that is representative of continuing circumstances, new documentation will be collected and hours re-projected based on the most current information.

If hours are not consistent, DWS employees may elect not to use the projection process. In that case, DWS employees will enter weekly hours in the weekly hours field on the verification screen.

Subsidized Employment – Public

Describe the services under this work activity.

Subsidized Employment – Public Sector – Employment for which the employer receives a subsidy from TANF or other public funds to offset some or all of the wages and costs of employing customers. Some of those costs include benefits, employment-related taxes, insurance etc. Customers are paid wages and receive the same benefits as other employees who perform similar work.

Subsidized employment is different from OJT in two ways. First, Subsidized Employment is for customers who may not be job ready and need necessary training, guidance and direction to adequately perform in the workplace, rather than those who need significant on-site training and guidance in a career or occupation. Second, the subsidy the employer receives is to offset the costs of employing the customer, rather than the cost of training.

Work Study – Paid employment for undergraduates and graduate students with financial need. Work Study placements are sites developed, coordinated, or contracted out by educational institutions where students who qualify are placed to work in order to receive a stipend. The stipend is usually received as an hourly salary that cannot exceed the total Work Study award.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of verified hours worked in subsidized public employment activities in a reporting cycle.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Removed two week documentation requirement.]

DWS employees collect documentation and then enter verified participation hours on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: check-stubs, timesheets, payroll records, collateral contacts to employers, TALX, and attendance forms provided by DWS. If a collateral contact is used to document participation hours, a collateral contact form must be filled out by a DWS employee or contractor and imaged in the electronic case file.

If the State intends to project forward hours of participation based on current, documented, actual hours, explain how it will make this projection.

DWS employees will collect documentation for two weeks of paid employment hours and enter those hours on the UWORKS baseline popup on the verification screen. The baseline popup has two different fields, week 1 and week 2. The Employment Counselor enters weekly hours in each of the fields. If documentation received includes hours for more than two weeks, the Employment Counselor will average the hours to determine a weekly amount to enter on the baseline popup. This is done by dividing the hours by the time period represented in the documentation. Once this information is entered, UWORKS will average the hours and project that average number forward for a period of six months. When DWS becomes aware of a change that is representative of continuing circumstances, new documentation will be collected and hours re-projected based on the most current information.

If hours are not consistent, DWS employees may elect not to use the projection process. In that case, DWS employees will enter documented weekly hours in the weekly hours field on the verification screen.

Work Experience

Describe the services or programs the State includes under the activity.

Unpaid Internship – Unpaid Internships are used to train customers in occupational skills. It is also allowable to train certain work habit skills but these skills are not the focus of Unpaid Internships. Work habit skills include but are not limited to regular attendance, consistent punctuality, positive attitude and behavior, appropriate appearance, good interpersonal relations, and effective task completion. Customers may be placed with a private for profit or non-profit employer, or a public agency.

Unpaid Internships are exempt from FLSA minimum wage regulations because they meet the following conditions: Training is similar to that given in a vocational school and includes occupational skills, the main benefit of the unpaid internship is for customers rather than the employer, there is no monetary compensation paid to customers by the participating employer, customers cannot displace regular employees, and the employer is not required to retain customers who successfully complete the unpaid internship.

Youth Unpaid Internship/Work Site Learning – The purpose of Youth Unpaid Internships is career exploration and attainment of work readiness skills. Work readiness/work habit skills include, but are not limited to, regular attendance, consistent punctuality, positive attitude and behavior, appropriate appearance, good interpersonal relations, and effective task completion. Three months is generally sufficient for interns to acquire these skills. FLSA minimum wage regulations do not apply according to Department of Labor guidance. Customers must be enrolled in WIA. These customers are work-eligible parents, or caretaker relatives of a minor child, receiving TANF assistance. They are also eligible for WIA because they were between the ages of 14 and 21 at the time of WIA eligibility.

Externships – Externships are experiential learning opportunities offered by educational institutions to give students practical experience in their field of study. Externships are a required component of curriculum. Examples of externships include but are not limited to student teaching, nursing clinicals, cosmetology externships, dental assisting externships, etc. Externships are exempt from FLSA minimum wage regulations because they meet the following conditions: Training is similar to that given in a vocational school and includes occupational skills, the main benefit of the externship is for customers rather than the employer, there is no monetary compensation paid to customers by the participating employer, customers cannot displace regular employees, and the employer is not required to retain customers who successfully complete the externship.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of hours in work experience activities in a reporting cycle. Excused absences and holidays may also be added.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Removed two week documentation requirement.]

DWS employees collect documentation and then enter verified participation hours on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: forms provided by DWS for attendance and evaluation.

Describe the methods of daily supervision for each unpaid work activity.

DWS staff, contract providers, partner agency staff, and worksite supervisors provide supervision. Documentation will include a signature from the person who is providing the information and is in a position to have knowledge of the actual hours of participation. DWS will consider electronic signatures to be acceptable documentation.

Community Service

Describe the services or programs the State includes under the activity.

Community Service Internships – Community Service Internships are for customers who are not otherwise able to obtain employment. The emphasis is on improving employability and good work habits. Good work habits include, but are not limited to, regular attendance, consistent punctuality, positive attitude and behavior, appropriate appearance, good interpersonal relations and effective task completion. The main purpose of Community Service Internships is to directly benefit the community, rather than customers. FLSA requirements apply.

This service must have a useful purpose for the community and include structured activities. Examples of activities include:

- a. Serving as a teacher's aide at a local school
- b. Helping as a parent volunteer at Head Start
- c. Preparing meals for the needy at a food bank
- d. Providing clerical support for a government agency
- e. Participating in volunteer organizations such as Americorp
- f. Grounds keeping at a local hospital
- g. Working with seniors at a senior citizen center

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of verified hours in the community service activity in a reporting cycle. Excused absences and holidays may also be added.

Customers placed on Community Service Internships are subject to FLSA minimum wage regulations. Customers cannot participate for more hours than the monthly TANF grant amount plus the monthly food stamp amount divided by the Federal minimum wage. UWORKS will calculate the maximum number of hours allowable for each customer assigned to this service.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Removed two week documentation requirement.]

DWS employees collect documentation and then enter verified hours of participation on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Attendance will be documented using an attendance form provided by DWS.

Describe the methods of daily supervision for each unpaid work activity.

DWS staff, contract providers, partner agency staff, and worksite supervisors provide supervision. Documentation will include a signature from the person who is providing the information and is in a position to have knowledge of the actual hours of participation. DWS will consider electronic signatures to be acceptable documentation.

Describe how the types of community service positions that create an employer/employee relationship and are subject to FLSA minimum wage requirements will be determined.

All Community Service Internships are subject to FLSA.

If the State permits self-initiated community service positions, describe how it determines that the position provides a direct community service and improves the recipient's employability.

Utah does not permit self-initiated Community Service Internships.

On-the-Job Training

Describe the services or programs the State includes under the activity.

On the Job Training (OJT) – This service is for customers who are job ready and need the same career training that is given to a paid employee while he or she is engaged in productive work. A subsidy is paid to the employer to offset the cost of training provided to customers. OJT placements may be in the public or private sector. Customers enrolled in OJT have identified an occupational area for which immediate employment is a realistic goal, have an interest in that occupation, and the aptitude to complete the training as determined by an assessment process.

The length of the OJT is determined by the time needed to learn the necessary skills, but is limited to six months. An OJT is not allowed for jobs that are intermittent, temporary, seasonal, or that pay only commission, or piece rate. The employer is reimbursed no more than 50% of the wage paid to customers.

OJT is different from subsidized employment in two ways. First, OJT is used for job ready customers who need significant on-site training in the knowledge and skills essential to the full and adequate performance of the job in a specific career or occupation. Second, the subsidy the employer receives is used to offset the costs of training the customer, rather than the cost of employing the customer.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the verified number of hours worked in the OJT activity in a reporting cycle.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

DWS employees enter verified participation hours on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: check-stubs, timesheets, payroll records, collateral contacts to employers, TALX, and attendance forms provided by DWS. If a collateral contact is used to document participation hours, a collateral contact form must be filled out by a DWS employee or contractor and imaged in the electronic case file.

If the State intends to project forward hours of participation based on current, documented, actual hours, explain how it will make this projection.

Projections for OJT will be based on two weeks of verified participation hours. DWS employees will collect documentation for two weeks of OJT hours and enter those hours on the UWORKS baseline popup on the verification screen. The baseline popup has two different fields, week 1 and week 2. The DWS employee enters weekly hours in each of the fields. Once this information is entered, UWORKS will average the hours and project that average number forward for a period of six months. When DWS becomes aware of a change that is representative of continuing circumstances, new documentation will be collected and hours re-projected based on the most current information.

If OJT hours are not consistent, DWS employees may elect not to use the projection process. In that case, DWS employees will enter weekly hours in the weekly hours field on the verification screen.

Job Search and Job Readiness

Describe the services or programs the State includes under the activity.

Intensive Employment Services – Participation with an agency and/or a job coach that provides employment barrier resolution followed by intensively supported employment. While enrolled in this service, customers participate in job readiness activities leading to employment.

Choose to Work Expanded Services –Intensive job development services for individuals with disabilities.

Individual Job Search – Participation in intensive, individual job search. Job search activities include interviewing, researching employers, updating resumes, preparing applications, scheduling and attending informational interviews, as well as completing online applications, etc.

Job Readiness/ Connection Activities – The use of services available in DWS' Job Connection Area such as: self-directed job search, Electronic Job Board, and Labor Market Information. This can also include the use of career exploration tools such as WinWay Resume, Choices, and career counseling.

Mental Health Treatment-Job Readiness – Resolving job readiness issues by attending counseling sessions, participating in day treatment, taking medications, etc. The need for this service must be based on documentation from a medical professional.

Physical Treatment-Job Readiness – Resolving job readiness issues by participating in activities related to treatment of a medical condition. This includes physical therapy, attending appointments, etc. The need for this service must be based on documentation from a medical professional.

Substance Abuse Treatment-Job Readiness – Resolving job readiness issues by participating in activities related to resolving drug, alcohol or substance abuse barriers. The need for this service must be based on documentation from a medical professional.

Pre/Post-Employment Training Workshops – Participation in structured workshops dealing with resume writing, interviewing and interpersonal relationships in the workplace, as well as employer expectations regarding dress, grooming, ethics, responsibility, etc.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of hours in each job search/job readiness activity in a reporting cycle. Transportation time between job contacts will be included in the total hours reported for individual job search activities. Transportation time will be documented on a job search log provided by DWS. Excused absences and holidays may also be included.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Removed two week documentation requirement.]

DWS employees collect documentation and then enter verified participation hours on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file.

Acceptable documentation for the services of: Intensive Employment Services, Choose to Work Expanded Services, Individual Job Search, Job Readiness and Pre/Post Employment Training Workshops, include: job logs, attendance forms provided by DWS or contractor, or the workshop attendance list in UWORKS.

For the services of Mental Health Treatment-Job Readiness, Physical Treatment-Job Readiness and Substance Abuse-Job Readiness acceptable documentation includes: attendance records from the service provider or attendance forms provided by DWS.

For customers in individual job search activities, DWS employees will review two job contacts per customer per week, including transportation time, to verify hours of participation. If job logs are incomplete or hours cannot be verified, the hours will not be entered on the verification screens in UWORKS and not included in the Federal report. The results of each random review will be documented in the electronic case file.

Describe the methods of daily supervision for each unpaid work activity.

Supervision includes daily responsibility for oversight of a customer's participation, although this does not necessarily mean that there will be daily contact with the customer. Daily supervision of customers may include access to any of the supervisors listed below. These supervisors are available to customers so they can report on progress or seek additional guidance as needed before the next regularly scheduled contact. Contact between supervisors and customers must be no less frequently than weekly.

DWS staff, contract providers, partner agency staff, workshop instructors, and treatment service providers may provide supervision. Documentation will include a signature from the person who is providing the information and is in a position to have knowledge of the actual hours of participation. DWS will consider electronic signatures to be acceptable documentation.

If the State intends to count substance abuse treatment, mental health treatment and rehabilitation activities, describe the criteria to establish the necessity of treatment or therapy.

[Removed "otherwise employable" requirement.]

Job Readiness Treatment Activities DWS conducts an assessment to determine the appropriate level of participation for every customer. In conjunction with this assessment, DWS uses medical evidence provided by a qualified medical, substance abuse, or mental health professional. Customers may be placed in job readiness treatment activities alone or in conjunction with other eligible activities.

Define qualified medical, substance abuse, or mental health professionals.

A qualified medical or mental health professional is defined as a State licensed provider of medical or mental health services. DWS will accept a statement from our in-house mental health professional, a medical statement, report, or medical assessment form provided by DWS as acceptable medical evidence. The medical or mental health provider is required to complete and sign any of the above listed forms indicating the type, duration, and frequency of the treatment required. The evidence should be signed by one of the following: Medical Doctor (MD), Doctor of Osteopathy (DO), Advance Practice Registered Nurse (APRN), Physician's Assistant PA and Licensed Mental Health Therapist, including a psychologist, Licensed Clinical Social Worker, Certified Social Worker, Marriage & Family Therapist, and Professional Counselor.

Describe how the State ensures that no more than 120 or 180 hours (four consecutive weeks) of job search and job readiness assistance are reported in a 12 month period (or a total of 12 weeks in States that meet the definition of a "needy State" for the Contingency Fund).

[Updated process to count hours rather than days.]

The maximum number of hours a customer can use towards job search in a 12 month period is determined by the status of the parent. A table in the data warehouse will be updated with the parent's status regarding participation requirements each reporting cycle.

- If the customer is a single parent with a child under the age of 6, then only 20 hours are required to meet participation. In this situation, the customer has a maximum of 120 hours in a 12 month period.
- If the customer does not qualify for the child under 6 reduction in hours (is not a single parent or does not have a child under the age of 6), the maximum increases to 180 hours in a 12 month period.
- After determining the appropriate maximum number of hours for the year, programming will subtract all reported hours in the prior eleven months from that number. The difference will be the maximum number of hours that can be reported for the current reporting cycle. Actual verified hours recorded by the employment counselor will be reported unless that number exceeds the difference.
- The number of job search hours reported in a reporting cycle will be recorded in the data warehouse and used to calculate the number of hours used in the prior eleven months.
- Programming will not take into account months prior to October 2008.

To identify consecutive job search weeks, a column will be added to a table in the data warehouse. Every week verified job search hours are recorded will count as a job search week. The programming will look at the prior week. If there are no job search hours in the previous week, it will count as week 1. If there is a 1 in the previous week, it will be week 2, etc. If we reach week 5, the verified hours in that week will not be counted towards participation and will not apply towards the yearly maximum. In effect, this will zero out week 5, and if verified hours are recorded in week 6, it will reset the week counter to 1.

Vocational Educational Training

Describe the services or programs the State includes under the activity.

[Moved services "Bachelor's Degree" and "Youth Occupational Skills Training – Bachelor's" from "Education Directly Related to Employment" section]

Occupational Skills Training – Employment related education that provides customers specific occupational skills that support employment in entry-level, semi-skilled, or skilled jobs. This service includes but is not limited to: short-term, certificate programs such as Certified Nursing Assistance, CPR, Commercial Driver's License, Medical Assisting, etc.

Apprenticeship Training – Classroom training leading to skilled labor and eventual employment for customers who want to learn a trade. Programs must meet the apprenticeship criteria established by the Bureau of Apprenticeship and Training.

Associate's Degree – An educational activity related to the pursuit of a two-year post high school degree. Training should be limited to activities that give individuals the knowledge and skills to perform a specific occupation.

Bachelor's Degree – Enrolled in educational program activities related to the pursuit of a four-year post high school degree.

Youth Occupational Skills Training – Bachelor's – Training in educational program activities related to the pursuit of a four-year post high school degree. Customer must be enrolled in WIA. These customers are work-eligible parents, or caretaker relatives of a minor child, receiving TANF assistance. They are also eligible for WIA because they were between the ages of 14 and 21 at the time of WIA eligibility.

Youth Occupational Skills Training – Employment related education provided with the expectation of customers obtaining specific occupational skills sufficient to become employed in entry level, semi-skilled, or skilled jobs. This service includes short term and certificate programs such as CNA, CPR, lifesaving, etc. Customers must be enrolled in WIA. These customers are work-eligible parents, or caretaker relatives of a minor child, receiving TANF assistance. They are also eligible for WIA because they were between the ages of 14 and 21 at the time of WIA eligibility.

Courses completed in an on-line learning environment only count as a work activity under this definition if the course can meet supervision and verification requirements.

Vocational Education training occurs at private or public educational institutions or training facilities including, but not limited to: career and technical education schools, vocational centers, community colleges, and universities.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of hours spent in each Vocational Education activity, including study time, in a reporting cycle. Excused absences and holidays may also be added.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Removed two week documentation requirement.]

[Added unsupervised study time.]

DWS employees collect documentation and then enter verified participation hours, including study time, on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: school attendance records and attendance forms provided by DWS.

Up to one hour of unsupervised study time may be added to the verification screen if study time is required or advised by the educational institution. Total study time may not exceed what is required or advised by the educational institution. DWS employees will maintain documentation of required/advised study time in the case file. Acceptable documentation includes a written or verbal statement from education institution personnel, information listed in a syllabus, a course catalogue, or other information sufficient to establish need.

Describe the methods of daily supervision for each unpaid work activity.

Staff at the education institution will provide supervision including: faculty, instructors, instructional aids, lab supervisors, and study hall supervisors. Documentation will include a signature from the person who is providing the information and is in a position to have knowledge of the actual hours of participation. DWS will consider electronic signatures to be acceptable documentation.

Describe how the State ensures participation in vocational educational training does not count beyond the statutory limitations limiting participation to 12 months lifetime per individual.

To ensure that no more than 12 months of vocational education training count beyond the statutory limitations of 12 months per lifetime of the customer, a column in a table in the data warehouse keeps track of the reporting cycles in which hours of participation have been reported for each FEP customer.

Each FEP customer's record is reviewed to determine if there are any verified hours of participation for vocational education training during a reporting cycle. If a FEP customer has any verified hours of participation for vocational education training during that period, a count of one month is added to the table for that customer. This continues for each reporting cycle in the fiscal year.

Any additional hours of verified participation in vocational education training beyond the first 12 reporting cycles are included in the total number of hours reported for Jobs Skills Training or Education Directly Related to Employment.

Explain how the State will ensure that basic and remedial education and English as a Second Language (ESL), if such activities are counted, are necessary or a regular part of the vocational education training.

[Added ESL if it is included in the course curriculum.]

English as a Second Language (ESL) and basic and remedial education are only allowed if the educational institution includes it in the course curriculum. ESL and basic and remedial education are separate services in UWORKS. DWS employees are instructed to use this service for customers who are not pursuing a vocational educational training program. DWS requests copies of course curriculum from customers to ensure that ESL and basic and remedial education are a necessary part of the vocational education training.

Job Skills Training Directly Related to Employment

Describe the services or programs the State includes under the activity.

Second year of vocational education activities including: Occupational Skills Training, Apprenticeship Training, Associate's Degree and Youth Occupational Skills Training. DWS policy requires educational activities to be related to employment. The overall purpose of providing customers training is to help customers increase occupational skills in order to obtain, maintain, and enhance employment that will lead to the customers' ability to support themselves and their families.

English as a Second Language – Enrolled in English as a Second Language educational service. This activity must be directly related to employment for customers.

Basic Skills Remediation – Training that may include adult education, literacy activities, remedial reading, writing, mathematics, or a combination thereof; for customers who have proficiencies below the ninth grade level. This service may also be used to improve basic skills to a level greater than customers held at assessment. This activity must be directly related to employment for customers.

Courses completed in an on-line learning environment only count as a work activity under this definition if the course can meet supervision and verification requirements.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the verified number of hours spent in each Job Skills activity, including study time in a reporting cycle. Excused absences and holidays may also be added.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Added requirement to document need for study hours.]

DWS employees collect documentation and then enter verified participation hours, including study time, on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: school attendance records and attendance forms provided by DWS.

For the activities of English as a Second Language and Basic Skills Remediation, the actual hours of participation can be documented using the State Department of Education's UTOPIA database. UTOPIA provides attendance records that include the following information: student name, class name, instructor name, the dates and hours of attendance, and the name of the school.

Up to one hour of unsupervised study time may be added to the verification screen if study time is required or advised by the educational institution. Total study time may not exceed what is required or advised by the educational institution. DWS employees will maintain documentation of required/advised study time in the case file. Acceptable documentation includes a written or verbal statement from education institution personnel, information listed in a syllabus, a course catalogue, or other information sufficient to establish need.

Describe the methods of daily supervision for each unpaid work activity.

Staff at the education institution will provide supervision including: faculty, instructors, instructional aids, lab supervisors, and study hall supervisors. Documentation will include a signature from the person who is providing the information and is in a position to have knowledge of the actual hours of participation. For the activities English as a Second Language and Basic Skills Remediation, UTOPIA may provide documentation of supervision. Utah has a signed Memorandum of Understanding (MOU) with the Utah State Office of Education indicating instructors will enter participation data into the database at least once every two weeks. DWS will consider electronic signatures to be acceptable documentation.

Education Directly Related to Employment in the Case of a Recipient who has not received a High School Diploma or a Certificate of High School Equivalency Diploma

Describe the services or programs the State includes under the activity.

Basic Skills Remediation – Training that may include adult education, literacy activities, remedial reading, writing, mathematics, or a combination thereof; for customers who have proficiencies below the Ninth grade level or to improve basic skills to a level greater than they held at assessment. This activity must be directly related to employment for customers.

English as a Second Language – English as Second Language educational services. This activity must be directly related to employment for customers.

Second year of occupational skills training – Employment related education that provides customers specific occupational skills that support employment in entry-level, semi-skilled, or skilled jobs. This service includes but is not limited to: short-term, certificate programs such as Certified Nursing Assistance, CPR, Commercial Driver's License, Medical Assisting, etc. This activity must be directly related to employment for customers.

Courses completed in an on-line learning environment only count as a work activity under this definition if the course can meet supervision and verification requirements.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the verified number of hours spent in each education directly related to employment activity, including study time in a reporting cycle. Excused absences and holidays may also be added.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Added requirement to document need for study hours.]

DWS employees collect documentation and then enter verified participation hours, including study time, on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Examples of acceptable documentation include: school attendance records and attendance forms provided by DWS.

For each activity listed above, except second year of occupational skills training, the actual hours of participation can be documented using the State Department of Education's UTOPIA database. UTOPIA provides attendance records that include the following information: student name, class name, instructor name, the dates and hours of attendance, and the name of the school.

Up to one hour of unsupervised study time may be added to the verification screen if study time is required or advised by the educational institution. Total study time may not exceed what is required or advised by the educational institution. DWS employees will maintain documentation of required/advised study time in the case file. Acceptable documentation includes a written or verbal statement from education institution personnel, information listed in a syllabus, a course catalogue, or other information sufficient to establish need.

Describe the methods of daily supervision for each unpaid work activity.

Staff at the education institution will provide supervision including: faculty, instructors, instructional aids, lab supervisors, and study hall supervisors. Documentation will include a signature from the person who is providing the information and is in a position to have knowledge of the actual hours of participation. For all of the activities listed above except Second Year of Occupational Skills Training, UTOPIA may provide documentation of supervision. DWS will consider electronic signatures to be acceptable documentation.

Satisfactory School Attendance for Recipients who have not received a High School Diploma or a Certificate of High School Equivalency Diploma

Describe the services or programs the State includes under the activity.

GED/HS Diploma – Enrolled in GED and HS Diploma. This service can also include other related education activities such as basic skills remediation or ESL if it's part of the GED/HS program.

Youth Tutoring/Dropout Prevention – Coaching, teaching and guiding customers to increase academic success potential. This includes study skills, dropout prevention strategies and instruction leading to secondary school completion. This service also applies to assisting youth with basic skills improvement (remediation), and obtaining a HS diploma or GED. Customer must be enrolled in WIA. These customers are work-eligible parents, or caretaker relatives of a minor child, receiving TANF assistance. They are also eligible for WIA because they were between the ages of 14 and 21 at the time of WIA eligibility.

Describe how the State determines the number of countable hours of participation for the activity. If the State uses different methods for different services or programs within the activity, the State should describe each.

The number of countable hours of participation is determined by adding the number of verified hours in each Satisfactory School Attendance activity, including supervised study time in a reporting cycle. Excused hours and holiday hours may also be added.

Describe how the State verifies the actual hours of participation for the activity. Include the procedures for obtaining and maintaining documentation of hours of participation.

[Added requirement to document need for study hours.]

DWS employees collect documentation and then enter verified participation hours, including study time, on the verification screens in UWORKS. Supporting documentation is maintained in the electronic case file. Acceptable documentation includes: school attendance records and attendance forms provided by DWS. For the activities of English as a Second Language and Basic Skills Remediation, the actual hours of participation can be documented using the State Department of Education's UTOPIA database. UTOPIA provides attendance records that include the following information: student name, class name, instructor name, the dates and hours of attendance, and the name of the school.

Up to one hour of unsupervised study time may be added to the verification screen if study time is required or advised by the educational institution. Total study time may not exceed what is required or advised by the educational institution. DWS employees will maintain documentation of required/advised study time in the case file. Acceptable documentation includes a written or verbal statement from education institution personnel, information listed in a syllabus, a course catalogue, or other information sufficient to establish need.

Describe the methods of daily supervision for each unpaid work activity.

Supervision will be provided by staff at the education institution, including: faculty, instructors, instructional aids, lab supervisors, and study hall supervisors. Documentation will include a signature from the person who is providing the information and is in a position to have knowledge of the actual hours of participation. For the activity GED/HS Diploma, UTOPIA can provide documentation of supervision. Utah has a signed Memorandum of Understanding (MOU) with the Utah State Office of Education indicating instructors will enter participation data into the database at least once every two weeks. DWS will consider electronic signatures to be acceptable documentation.

Providing Child Care Services to an Individual Participating in a Community Service Program

Describe the services or programs the State includes under the activity.

DWS does not currently offer this service to FEP customers.

II. Hours Engaged in Work

Excused Absences and Holidays

Describe the State's excused absence policies for unpaid work activities. This includes its policies for holidays as well as the excused absences that the State may count in a 12-month period. If the policies vary by work activity, the State should describe how they vary and for which activities. Plans must specify the holidays being excused – and also explain how State's track excused absences in their system.

[Added information about how DWS will apply excused and holiday hours to unpaid work activities]

DWS counts the following holidays towards participation: New Year's Day, Martin Luther King Jr. Day, President's Day, Memorial Day, Independence Day, Pioneer Day, Labor Day, Veteran's Day, Thanksgiving, and Christmas Day. Customers must be scheduled to participate on the holiday for the hours to count towards participation.

Holiday hours are entered into the UWORKS verification popup for each holiday by DWS employees. The hours will be attached to the work activity the customer is excused from participating in due to the holiday. Each of the ten holidays will be identified on the verification popup. DWS employees will only be allowed to enter holiday hours on the day the holiday is observed as designated on the verification screen. A maximum of 10 hours can be applied on any one holiday.

Excused hours are entered into the UWORKS verification popup for each excused absence by DWS employees. The hours will be attached to the work activity the customer is excused from participating in. No more than 16 hours per reporting cycle of excused absences are allowed to count as participation and no more than 80 hours of excused absences are allowed to count towards participation in a year (current reporting cycle and prior 11 reporting cycles). Customers must be scheduled to participate during the excused time for the hours to count towards participation.

Unpaid work activities eligible for the addition of holiday and excused hours include all activities that fall into the following federal categories (see above for definitions):

- Work Experience
- Job Search
- Community Service Programs
- Vocational Educational Training
- Job Skills Training Directly Related to Employment
- Education Related to Employment, No HS Diploma
- Satisfactory School Attendance for Recipients who Have Not Received a High School Diploma or Certificate of High School Equivalency Diploma

If programming is not complete in time to meet federal reporting deadlines, we will exclude all holiday or excused hours applied to cases that have more than one federal work activity with verified hours.

FLSA Deeming

If the State wishes to use the "deeming" provision permitted at §§ 261.31 and 263.32 for work experience or community service programs, describe how the State determines the work hours requirement, including how the monthly TANF grant and food stamp allotment combined and divided by the appropriate minimum wage to meet the "core" participation requirement.

Include a statement certifying that the State has adopted a mini Simplified Food Stamp Program in order to count the value of food stamp benefits.

To determine the maximum number of hours a customer may participate in a Community Service Internship, UWORKS will look at the previous month's TANF and food stamp benefit amounts. The monthly grant amounts will be added together then divided by the higher of the Federal or State minimum wage and divided again by the number of weeks in the reporting cycle to determine a weekly amount. When the Community Service Internship service is added to the employment plan, the "hours" field will automatically populate with the maximum number of hours as determined by the previous month's benefits. Employment Counselors may assign fewer hours but may not go above the maximum number as determined in the calculation.

Each month, the system will determine whether there have been changes to TANF and food stamp benefit amounts. If benefit amounts have changed, the system will calculate the maximum monthly number of hours a customer may participate in a Community Service Internship the following month using the procedure described above. A UWORKS task will be sent to Employment Counselors on the 10th of each month notifying them of the change in hours. Employment Counselors have until the first of the following reporting cycle to negotiate the change with the community service site supervisor and customer. The hours will then be changed on the employment plan as negotiated with the customer. A table will be maintained behind the scenes to store the monthly calculation of hours on deemed cases and will be used to determine the hours that may be deemed. Deeming will only occur once a customer participates for the maximum monthly hours allowed under FLSA.

Utah implemented a Mini-Simplified Food Stamp Program on May 1, 2007, which allows it to match its food stamp exemptions to those of its TANF program.

Work Eligible Individual

Describe the State's procedures for identifying all work eligible individuals, as defined at §261.2. This should include the procedures needed to identify a non-recipient parent excluded from the definition of work-eligible individual.

[Clarified definition of work eligible individuals]

Utah's eligibility system captures demographic information on all members of a household and identifies which members of the household are included on a FEP case. This information includes the relationship of each of the household members to the head of household or primary person on the case. The work eligibility status of all adults included on the case and/or within the household but not included on the case is defined as follows:

Work Eligible:

- Any adult (or minor child head-of-household) receiving assistance
- Any parent included in the household unit, but excluded from the assistance payment, because of disqualification for fraud or another reason
- Any parent receiving SSI or SSDI who met participation requirements

Not Work Eligible

- A caretaker relative not receiving assistance. This is determined by the relationship of the children on the case to the caretaker relative.
- Any non-recipient parent receiving SSI or SSDI who did not meet participation requirements
- Any non-recipient parent who is unable to work due to his/her immigration status (undocumented alien)
- A parent caring for a disabled family member during each week of the reporting cycle

Describe the procedures for identifying a parent caring for a disabled family member, who may also be excluded from the definition of a work-eligible individual.

[Removed "full time" requirement to determine if a parent is qualified for "Parent Caring for a Disabled Family Member" service.]

DWS is opting to exclude parents caring for a disabled family member, from the definition of a work-eligible individual. DWS will use the following definitions to determine whether a parent meets these criteria:

A Disabled Family Member is defined as a family member who is incapable of providing for themselves and who requires a parent in the home to meet their daily needs. This family member must live in the household but is not necessarily included in the financial case. Disabled family members can include: Natural, step, or adoptive children, current spouse, other parent of the dependent child(ren) in the household, natural, step, or adoptive parent, relatives including those prefixed with great, great, great and great, great, great though blood, marriage, adoption, step-relations, grandparent, aunt or uncle, brother or sister, niece or nephew, or spouse of anyone listed above even after the marriage is terminated by death, separation, or divorce.

The need for a parent to remain in the home to care for a disabled family member will be documented via a written statement from a medical doctor, a doctor of osteopathy, a licensed Mental Health Therapist as defined in UCA 58-60-102, a Licensed Clinical Social Worker, Certified Social Worker, Marriage & Family Therapist, Professional Counselor, licensed Advanced Practice Registered Nurse, or a licensed Physicians Assistant (unless the dependent is on the Travis C Medicaid waiver program). The written statement must be based on a current physical examination of the person, not just a review of the person's medical records and must include: the diagnosis of the family member's condition, the recommended treatment needed or being received for the condition, the length of time the parent will be required in the home to care for the family member, and whether the parent is required to be in the home full-time or part-time. The need for the parent to remain in the home must be at least 30 days or longer.

For permanent or temporary disability, medical evidence must be provided to Employment Counselors no less than every six months, or at the time the medical evidence documents that the family member is no longer disabled.

If it is determined that a parent meets the definition above, an Employment Counselor will open the "Parent Caring for a Disabled Family Member" service in UWORKS and enter an actual start date so the date the parent meets this requirement can be identified. If the service opens or closes during a reporting cycle, the individual will be considered work eligible for all full weeks the service is not open.

Describe verification procedures for ensuring the accuracy in reporting of work-eligible individuals on the TANF Data Report and the SSP-MOE Data Report, including:

There are two groups of customers on our SSP-MOE program. These two groups include:

1. Eligible alien parents receiving financial assistance who have been in the country for less than five years from the month of the TANF Federal report, and are not receiving Food Stamps or have been disqualified from receiving Food Stamps for the reporting month.
2. Parents who have been working for at least 30 hours a week during the month and their TANF benefits will close at the end of the month. These TANF parents are enrolled in the Transitional Cash Assistance (TCA) Program that provides up to three months of financial assistance after the case would normally close.
3. Two Parent cases are paid out of State monies not used for MOE.

Remaining TANF recipients are in the FEP program. When DWS codes the Work Participation Status of all adults on FEP or SSP-MOE, the following programming routines are performed in the order listed:

1. If the sum of verified participation hours in:
 - a. Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service, and Vocational Education Training is equal to or greater than 30, THEN
 - b. The Work Participation Status field is coded 19 (meeting participation requirements).
2. If the sum of verified participation hours in:
 - a. Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service, and Vocational Education Training is equal to or greater than 20 and less than 30, AND
 - b. The sum of verified participation hours in Job Skills Training, Education Related to Employment for Individuals without a High School Diploma or GED, or Satisfactory School bring the total verified participation hours to 30 or more, THEN
 - c. The Work Participation Status field is coded 19 (meeting participation requirements).
3. If the type of family is coded as a "3" and the adult has a work eligible indicator of 06, 07, 08, 09, 10, 11, or 12, the work participation status is coded as a "99."
4. If the service of Parent Caring for Disabled Family Member is opened on the employment plan in UWORKS and an actual start date has been entered for the entire reporting cycle, the work participation status is coded as a "99." The adult will have a family affiliation of a 1 or 2 and a work eligible indicator of 9. If the service is open for a portion of the reporting cycle, the adult will be considered a work eligible individual and participation will be prorated for all full weeks the service is not open.

5. If there is:
 - a. Only one adult in the TANF family, AND
 - b. The children on the TANF case are either daughter or son, stepdaughter or stepson, AND
 - c. The age of the youngest child is calculated based on his/her verified birth date to be less than 6 years old on the first day of the calendar month, AND
 - d. The sum of verified participation hours in Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service, and Vocational Education Training is equal to or greater than 20 and less than 30, THEN
 - e. The Work Participation Status field is coded 17 (Deemed engaged in work – parent or relative (who is the only parent or caretaker relative in the family) with child under age 6 and parent engaged in work activities for at least 20 hours per week).

6. If the adult on the TANF case:
 - a. Is calculated to be less than age 20 based on their verified birth date and the first day of the calendar month, AND
 - b. The adult does not have a High School Diploma or GED, AND
 - c. The verified participation hours in Satisfactory School are greater than 0 and the adult is maintaining satisfactory school attendance, THEN
 - d. The Work Participation Status field is coded 15 (Deemed engaged in work – single teen head-of-household or married teen who maintains satisfactory school attendance).

7. If there is only one adult in the TANF family:
 - a. The adult on the TANF case is calculated to be less than age 20 based on their verified birth date and the first day of the calendar month, AND
 - b. The adult does not have a High School Diploma or GED, AND
 - c. The verified participation hours in Education Related to Employment for Individuals without a High School Diploma or GED are equal to or greater than 20, THEN
 - d. The Work Participation Status field is coded 16 (Deemed engaged in work – single teen head-of-household or married teen who maintains satisfactory school attendance).

8. If there is only one custodial parent in the TANF family:
 - a. The age of the youngest child is calculated based on his/her verified birth date and the first day of the calendar month to be less than 1, AND
 - b. This custodial parent has not been disregarded from the participation rate for more than 12 months, THEN
 - c. The Work Participation Status field is coded 1 (Disregarded from participation rate, single custodial parent with child under 12 months).

9. If:

- a. The family affiliation for the adult is coded a 1 (he/she is a member of the eligible family receiving assistance), AND
 - b. The adult is receiving federal disability that is NOT SSI or SSDI THEN
 - c. The Work Participation Status field is coded 7 (Exempt, disabled).
10. If:
- a. The family affiliation for the adult is coded a 2, 3, or 4 (he/she is not in the eligible family receiving assistance, but in the household), AND
 - b. The adult is receiving SSI or SSDI THEN
 - c. The Work Participation Status field is coded 99 (not required to participate).
11. If the TANF customer:
- a. a. Has the service of Nonparticipation opened on the employment plan in UWORKS during a reporting cycle for the 1st sanction AND has \$100 removed from the grant, AND
 - b. The adult has not met the above criteria for more than 3 reporting cycles within the preceding 12 reporting cycles, THEN
 - c. The Work Participation Status field is coded 2 (disregarded from participation because required to participate, but not participating; and subject to sanction for the reporting month, but not subject to sanction for more than 3 months within the preceding 12-month period).
12. If the sum of verified participation hours in:
- a. Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service, and Vocational Education Training is equal to or greater than 0 and less than 30, AND
 - b. The sum of verified participation hours in Job Skills Training, Education Related to Employment for Individuals without a High School Diploma or GED, or Satisfactory School is equal to 0, THEN
 - c. The Work Participation Status field is coded 18 (participating but not meeting required participation levels).
13. If the sum of verified participation hours in:
- a. Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service, and Vocational Education Training is less than 20, AND
 - b. The sum of verified participation hours in Job Skills Training, Education Related to Employment for Individuals without a High School Diploma or GED is greater than 0, THEN
 - c. The Work Participation Status field is coded 18 (participating but not meeting required participation levels).
14. If the sum of verified participation hours in:

- a. Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service, and Vocational Education Training is equal to or greater than 20 and less than 30, AND
 - b. The sum of verified participation hours in Job Skills Training, Education Related to Employment for Individuals without a High School Diploma or GED doesn't bring the total to 30, THEN
 - c. The Work Participation Status field is coded 18 (participating but not meeting required participation levels).
15. If the sum of verified participation hours in:
- a. Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service Programs, and Vocational Education Training is equal to or greater than 0 and less than 20, AND
 - b. The sum of verified participation hours in Job Skills Training, Education Related to Employment for Individuals without a High School Diploma or GED is greater than 0, THEN
 - c. The Work Participation Status field is coded 18 (participating but not meeting required participation levels).
16. If the TANF customer:
- a. Has the service of Nonparticipation opened on the employment plan during a reporting cycle for the 1st sanction AND has \$100 removed from the grant, AND
 - b. The total number of reporting cycles in which the adult has met the above criteria is more than 3 reporting cycles within the preceding 12 reporting cycles, THEN
 - c. The Work Participation Status field is coded 12 (required to participate, but not participating; and subject to sanction for the reporting month, and subject to sanction for more than 3 months within the preceding 12-month period).
17. If the sum of verified participation hours in:
- a. Unsubsidized Employment, Subsidized Private-Sector Employment, Subsidized Public-Sector Employment, Work Experience, On-the-Job Training, Job Search, Community Service, Vocational Education Training, Job Skills Training, Education Related to Employment for Individuals without a High School Diploma or GED, or Satisfactory School is equal to 0, THEN
 - b. The Work Participation Status field is coded 14 (not participating).

Describe how the State ensures that, for all work-eligible individuals, it accurately inputs data into the automated data processing system; properly tracks the hours; and accurately reports countable hours to HHS that do not include participation activities that do not meet a federal definition.

All reporting programming goes through a code review process where one programmer reviews the programming statements for accuracy. All programming output data is reviewed and tested exhaustively prior to being used for reporting purposes.

IV. Internal Controls

Describe the internal controls designed to ensure established work verification procedures are properly being employed.

DWS has several internal controls it will use to ensure established work verification procedures are properly being employed.

UWORKS System Controls

UWORKS is programmed to coincide with the reporting cycles previously defined. Within each reporting cycle, two-week verification periods have been defined to assist DWS employees with gathering verification documents. Some two-week periods cross over two reporting cycles. Verification screens will freeze a week and a half after the two-week block that includes a week in the previous reporting cycle. Once the screens freeze, DWS employees will not be allowed to add new verified hour entries. DWS employees may request the hours be changed after the freeze date if we receive documentation from customers after the data has been frozen. The request is made through a State Specialist.

To ensure that DWS employees are reporting the start date of activities appropriately, an actual start date has been added to the employment plan. The actual start date may be backdated however, the date may not predate a day for which data has already been frozen and may not precede the employment plan start date. The actual start date cannot be postdated. Services that do not have an actual start date will not appear on the verification popup and cannot be verified.

A service may be added to the employment plan without an actual start date entered, however, Employment Counselors will receive system-generated tasks if an actual start date has not been entered. Tasks are generated two weeks after the service is added to the plan and every week thereafter until the actual start date is added to the plan.

To ensure that DWS employees are entering verified hours in the UWORKS system, tasks will be sent to the Supervisor on the Friday prior to the verification due date notifying them that verified hours have not been entered.

For any hours entered with a decimal amount, UWORKS will round up to make sure that the calculation is done consistently.

Policy Development and Training

[Added "Just-in-Time" training this autumn to train Final Regulations.]

DWS has written policies and procedures relating to supervision, documentation and verification. All policies are located in DWS Employment and Business Services Manual (EBSM). The EBSM is available on the Web and is regularly updated and maintained. DWS staffs are informed when policy and procedure changes have been made to the manual.

DWS training is provided to new and incumbent staff. New employees receive training designed to teach them the basics they need to start working with customers. Most courses are designed to teach policy, procedures, philosophy and practical application, while incorporating use of the computer system in the learning process. More advanced courses on specific programs are available to ensure more comprehensive understanding. These courses also focus on relevant policy, procedure, philosophy and practical application.

“Just-in-Time” training is designed and developed to train/support a new program or concept. Generally, these training sessions are delivered in a “Train the Trainer” setting, where experts/specialists from the various areas of the state are trained. They, in turn, are expected to train employees in their local offices, often with the assistance of state program specialists. Just-in-Time concepts are then incorporated into regular training curriculum, where appropriate, to ensure employees receive training on these changes as part of their new employee training. DWS provided TANF Reauthorization Just-in-Time training in September 2006, September 2007, and will be providing additional training in September 2008 for the changes effective October 1, 2008.

Describe the internal controls for data errors, including transcription and coding errors, data omissions, computational errors, and compilation errors.

There are several processes in place to help detect and correct data errors, including transcription and coding errors, data omissions, computational errors, and compilation errors.

1. UWORKS contains employment plans for every customer including the services and hours the customer has agreed to participate in. UWORKS also contains all verified hours and our imaging system, Content Manager, maintains hard copy documentation for every customer.
2. The verification screen in UWORKS shows the total hours verified for each week for each service. The verification screen shows expected and verified hours of participation. Employment Counselors and Supervisors may use these fields to ensure hours and activities are appropriate.
3. The holiday popup on the verification screen in UWORKS will only allow hours to be entered on a day that has been designated as one of the ten holidays specified above.
4. DWS also generates participation reports from its data warehouse. One lists each customer's services that were open the previous reporting cycle, the number of hours the customer has agreed to participate in each service, and the actual verified hours. Both Employment Counselors and Supervisors can review the report for discrepancies.
5. Prior to transmitting data for the quarterly reports, the total hours of participation that are going to be reported on each TANF customer are added together. For any case where the total hours of participation are 60 or more hours, each case is reviewed individually for:
 - a. The actual date the customer started participating in each service.
 - b. The hours entered on the verification screen compared to the documentation used to verify those hours.
 - c. The tasks listed under each service to see what the customer agreed to do.
 - d. The narrations in UWORKS written by DWS employees.
 - e. Earnings entered in the eligibility system (if the service is employment-related).
 - f. Changes may be made to the data prior to transmitting depending on the information contained in a, b, c, d, and e above.
 - g. We also calculate the following:
 1. The average weekly hours of participation for each work activity for the reporting cycle to make certain the programming is calculating the participation hours correctly.
 2. The number of weeks the customer has had Job Search and Job Readiness services open during the fiscal year to make certain the programming is calculating the participation hours correctly and are appropriately reported.

3. The number of months the customer has had Vocational Education services open to make certain the programming is calculating the participation hours correctly and the hours are appropriately reported.
4. Any excused hours to make certain the customer has not used more than 16 hours in the reporting cycle or 80 hours during the previous year, that the programming is calculating the participation hours correctly, and they are appropriately reported.
5. Any holidays to make certain the programming is calculating the participation hours correctly, and they are appropriately reported.

Describe the checks to isolate electronic systems and programming errors and the steps to ensure that all work participation report items are internally consistent.

UWORKS programming goes through a code review process where one programmer reviews the programming statements for accuracy. All UWORKS output data is reviewed and tested prior to being released in the production system.

Describe any sampling and estimation techniques employed in data validation. Document the soundness of all statistical procedures utilized.

An independent audit group from DWS, Operations Support Division will conduct an annual review of TANF cases. The scope of the review includes ensuring Federal definitions are applied appropriately, that documentation used for verification of participation hours is complete and accurate, and that discrepancies are resolved according to DWS' policies and procedures.

A random sample of 150 cases will be pulled without intentional bias to include or exclude items in the population. A cross-section review indicates compliance and outlines the steps that must be taken to improve performance. Although not statistically valid, the sample size will be representative of the TANF universe.

The review criteria are based on interim final rules and DWS' policies and procedures related to documenting and verifying TANF participation hours. DWS is aware that criteria may need to be adjusted prior to each annual review to reflect any additional criteria or elements that have been identified as vulnerable to mistakes.

A standard tool has been created provide consistency in the review process, and to document the findings of each case reviewed. The results of the review will be maintained in a database to provide statistical analysis capabilities.

A written report of results, trends, and data analysis will be compiled upon completion of the review and submitted to the TANF program team to ensure any issues identified will be reviewed and appropriate actions taken. All findings will be maintained for future analysis and tracking purposes.

V. Verification of Other Data Used in Calculating the Work Participation Rate

Describe the State's data validation procedures to ensure complete and accurate data reporting. Describe any procedures employed to eliminate data inconsistencies between two or more data elements for each element.

For each of the following data elements, DWS programming gathers information from our eligibility computer system. DWS' procedures to ensure complete and accurate data reporting include:

- a. Reporting Month – Every FEP customer that received a benefit for the reporting cycle is included. If the customer is a new applicant, we will include them in the reporting cycle in which they are issued a benefit.
- b. Stratum – DWS reports on the entire population and does not use stratum.
- c. Case Number – Every FEP customer has a unique case number auto assigned by the eligibility computer system. The case number can be from three to eight digits.
- d. Disposition – Because we make certain that every FEP customer received a benefit for the reporting cycle, we do not have any that should be listed in error.
- e. Type of Family for Work Participation – Since this is such a crucial data element that impacts several other data elements, we use the following comprehensive process to make certain this is coded correctly.
 1. If all of the adults on the FEP case are coded as “IN,” which means they are required to participate, the case is coded a 1 (family included in overall work participation rate).
 2. If all of the adults on the FEP case are coded Out, Ineligible Alien, or receiving Social Security Disability, the case is coded a 3 (family excluded from both the overall and two-parent work participation rates).
 3. If one of the adults on the FEP case is coded as “IN,” but a second adult on the FEP case is coded Out, Ineligible Alien, or receiving Social Security Disability, the case is coded a 1 (family included in overall work participation rate).
- f. Amount of Food Stamps Assistance - When calculating the amount of food stamps received by the TANF family, the eligibility system will be reviewed to see if there are any Food Stamp household members who are excluded from the TANF household.

If there are additional family members included in the Food Stamp household who are excluded from the TANF household, the amount of food stamps will be prorated equally among each food stamp recipient then the amounts added together for each of the TANF recipients. If there are no additional family members included in the food stamp household, the amount of food stamps received by the TANF family will be reported.
- g. Receives Subsidized Child Care - Eligibility workers authorize subsidized child care through our eligibility system.
 1. If child care is authorized for a reporting cycle, this data element is coded a 1 (yes, receives child care funded entirely or in part with Federal funds).

2. If child care is not authorized for a reporting cycle, this data element is coded a 3 (no subsidized child care received).
- h. Amounts of TANF (and SSP-MOE) Assistance
 1. For TANF assistance, this data element includes the amount of the TANF benefit received for the reporting cycle AND the amount (if any) paid for emergencies such as car repairs, clothing, general incidental expenses, bus tokens, etc.) If the TANF adult is participating in training or worksite learning, it will also include the amount provided for child care.
- i. Family Affiliation Code - This data element is determined for each person on the TANF case.
 1. If an adult in the household is included on the FEP case, which means he is required to participate, the adult is coded a 1 (member of the eligible family receiving assistance).
 2. If an adult in the household is the parent of a child on the FEP case, but is not included in the benefit amount, is coded Disqualified for Fraud, Ineligible Alien, SSI, or SSDI recipient, the adult is coded a 2 (parent of minor child in the eligible family receiving assistance).
 3. If an adult in the household is not a parent of a child on the FEP case and is not included in the benefit amount, the adult is coded a 3 (caretaker relative of minor child in the eligible family receiving assistance).
 4. A check is made to determine if any children under the age of 19 on the FEP case are coded Out, Ineligible Alien, or receiving Social Security Disability. If true, the child will be coded a 4 (minor sibling of child in the eligible family receiving assistance).
- j. Non-Custodial Parent Indicator - Utah does not provide assistance to non-custodial parents, does not track participation in work activities of non-custodial parents and does not designate them as a member of the family. As such Utah is not required to report on non-custodial parents and will report this element with a 2 (No).
- k. Date of Birth (Adult)
 1. This is verified through a Social Security interface.
 2. If the FEP applicant is an alien, the date of birth is taken from the Alien Certification card. The Alien number is verified through the System for Alien Verification (SAVE).
- l. Relationship to Head-of-Household
 1. If the adult on the FEP case is the head of household, that individual is coded a 1 (head-of-household).
 2. If the adult on the FEP case is the spouse of the head of household, that individual is coded a 2 (spouse).
 3. If the parent of the head of household is on the FEP case, that individual is coded a 3 (parent).
 4. The children of the head of household are coded a 4 (daughter or son).
 5. The stepchildren of the head of household are coded a 5 (stepdaughter or stepson).
 6. The grandchild or great grandchild of the head of household is coded a 6.

7. The brother, sister, nephew, niece, or cousin of the head of household is coded a 7.
8. The foster child of the head of household is coded an 8.
9. A child not related to the head of household is coded a 9.
10. An adult not related to the head of household is coded a 10.

Consistency between type of family, family affiliation, marital status, and relationship to head of household is reviewed. If a conflict arises between marital status and relationship to head of household, relationship to head of household takes precedence, as this information is updated in the eligibility system more frequently.

m. Parent with Minor Child

1. To be eligible for TANF, the household must have at least one child under the age of 19 living in the home. A natural parent, adoptive parent, or step-parent on a FEP case will be coded a 2 (yes, a parent with a minor child in the family, but not used in two-parent participation rate).

n. Work-Eligible Individual Indicator - The eligibility system identifies whether an adult on the TANF case is part of the family receiving assistance. An edit is in place to verify that the type of family is consistent with the work eligible status of the adults in the household. If a conflict between these two elements is found, the case is reviewed manually, a determination is made on the work eligible indicator for each adult in the household, and the type of family is derived from that determination.

o. Date of Birth (Child)

1. This is verified through a Social Security interface.
2. If the FEP applicant is an alien, the date of birth is taken from the Alien Certification card. The Alien number is verified through the System for Alien Verification (SAVE).

Prior to submitting the TANF Quarterly Report, edits are run to identify data inconsistencies according to federal edit reports. Cases identified during this process are reviewed manually and updated to comply with reporting guidelines.

DWS Quality Control will review a statistical sample of 120 TANF cases annually. Reviews will be conducted on active cases to determine accurate coding of work eligible individuals and key data elements such as type of family for work participation, relationship, and education level. Results of the reviews will be taken through an error resolution process to correct issues found, identify training needs, and disseminate trend information.

Work Participation Status

Describe the State's procedures to ensure that a family is not disregarded from the work participation rate for more than 12 months per lifetime based on being a single custodial parent with a child less than one year of age.

DWS ensures that an adult is not disregarded from the work participation rate for more than 12 months per lifetime based on being a single-custodial parent with a child less than one year of age by keeping track of each month the adult is disregarded in a table in a data warehouse. We will also check to make certain that the adult is a single-custodial parent and that the child is less than one year of age based on the child's birth date as of the first day of the calendar month.

Describe procedures to ensure that a family is not disregarded from the work participation rate for more than three months in any period of 12 consecutive months based on a work-eligible individual's refusal to participate in work.

DWS ensures that an adult is not disregarded from the work participation rate for more than three months in any period of 12 consecutive months based on a work-eligible individual's refusal to participate in work. For each reporting cycle in the Federal report, we look back in the eligibility system to the preceding 12 reporting cycles and determine the number of reporting cycles the customer has been sanctioned.


Describe the procedures for ensuring a family deemed engaged in work based on 20 hours of participation in countable work activities meets the requirements of a single custodial parent or caretaker relative with a child under age six.

DWS ensures a parent or relative who is the only parent or caretaker relative in the family is deemed engaged in work based on 20 hours of participation in countable work activities meets the requirements of a single custodial parent or caretaker relative with a child under age six.

We determine that the child is less than six years of age based on the child's age as of the first day of the calendar month. We also determine if there is another adult in the TANF household.

TANF Work Verification Plan Certification

This is to certify that the Utah TANF Work Verification Plan dated August 5, 2008 includes all the information required by the Regulations at 45 CFR 261.62(b) and accurately reflects the provisions under which Utah will be operating effective October 1, 2008.


Kristen Cox, Executive Director
Department of Workforce Services